

## Filing at a Glance

Company: Travelers Casualty and Surety Company of America

Product Name: ERISA-TR Fidelity Forms - SERFF Tr Num: TRVE-125250102 State: Arkansas

Enhancement filing 2007-06-0080

TOI: 23.0 Fidelity

SERFF Status: Closed

State Tr Num: AR-PC-07-025667

Sub-TOI: 23.0000 Fidelity

Co Tr Num: 2007-06-0080

State Status:

Filing Type: Form

Co Status:

Reviewer(s): Betty Montesi,  
Llyweyia Rawlins, Brittany Yielding

Authors: Socorro Armstrong,  
Theresa Lavenburg, Michelle Smith  
Cotto, Celina Caez

Disposition Date: 08-06-2007

Date Submitted: 08-01-2007

Disposition Status: Approved

Effective Date Requested (New): 08-30-2007

Effective Date (New): 08-30-2007

Effective Date Requested (Renewal): 08-30-2007

Effective Date (Renewal): 08-30-  
2007

## General Information

Project Name: ERISA-TR Fidelity Forms - Enhancement filing 2007-06- Status of Filing in Domicile:  
0080

Project Number: 2007-06-0080

Domicile Status Comments:

Reference Organization:

Reference Number:

Reference Title:

Advisory Org. Circular:

Filing Status Changed: 08-06-2007

State Status Changed: 08-02-2007

Deemer Date:

Corresponding Filing Tracking Number:

Filing Description:

Our Company Filing Number: 2007-06-0080

Form Filing

Fidelity

TRAVELERS CASUALTY AND SURETY COMPANY OF AMERICA 3548-31194

This is an independent filing on behalf of Travelers Casualty and Surety Company of America.

In compliance with the insurance laws and regulations of your state, and the Employee Retirement Income Security Act of 1974 (ERISA) and the Pension Protection Act of 2006 (PPA 06) our company submits one (1) general use endorsement. The purpose of the filing is to conform to the new ERISA bonding requirements that require a \$1,000,000 limit for Insured Plans that hold employer securities. The requirements go into effect January 1, 2008.

This filing consists of the following endorsement:

F-3679 (10/07), for use with the ERISA Compliance Bond product (F-3600).

## Company and Contact

### Filing Contact Information

Michelle Smith Cotto, Regulatory Analyst	MSMITHCO@travelers.com
One Tower Square	(860) 277-2345 [Phone]
Hartford, CT 06183	(860) 277-3937[FAX]

### Filing Company Information

Travelers Casualty and Surety Company of America	CoCode: 31194	State of Domicile: Connecticut
One Tower Square	Group Code: 3548	Company Type:
2S2B		
Hartford, CT 06183	Group Name:	State ID Number:
(860) 277-0179 ext. [Phone]	FEIN Number: 06-0907370	
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## Filing Fees

Fee Required?	Yes
Fee Amount:	\$50.00
Retaliatory?	No
Fee Explanation:	
Per Company:	No

COMPANY	AMOUNT	DATE PROCESSED	TRANSACTION #
Travelers Casualty and Surety Company of America	\$50.00	08-01-2007	14901808

## Correspondence Summary

### Dispositions

Status	Created By	Created On	Date Submitted
Approved	Llyweyia Rawlins	08-06-2007	08-06-2007

## **Disposition**

Disposition Date: 08-06-2007

Effective Date (New): 08-30-2007

Effective Date (Renewal): 08-30-2007

Status: Approved

Comment:

Rate data does NOT apply to filing.

Item Type	Item Name	Item Status	Public Access
Supporting Document	Uniform Transmittal Document-Property & Casualty	Approved	Yes
	Cover Letter	Approved	Yes
Supporting Document Form	ERISA Required Bond Limit	Approved	Yes

## Form Schedule

Review Status	Form Name	Form #	Edition Date	Form Type Action	Action Specific Data	Readability	Attachment
Approved	ERISA Required Bond Limit	F-3679 (10/07)		Endorsement/Amendment/Conditions		0.00	F-3679 final.pdf

**ISSUED BY:**  
**ISSUED TO:**

**POLICY NO:**

**THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.**

**ERISA Required Bond Limit**  
**(For use with ERISA Compliance Bond F-3600 Ed. 8-00)**

It is agreed that:

**SECTION B. LIMIT OF LIABILITY** is amended by adding the following:

However, in the case of an Insured Plan that holds employer securities within the meaning of 29 U.S.C.A. § 1107(d)(1), this section shall be amended by substituting \$1,000,000.00 (One Million) for \$500,000.00 (Five Hundred Thousand).

Nothing herein contained shall be held to vary, alter, waive or extend any of the terms, conditions, exclusions or limitations of the above-mentioned policy, except as expressly stated herein. This endorsement is part of such policy and incorporated therein.

This endorsement is effective at the Inception Date stated in ITEM 3 of the Declarations or effective at 12:01 A.M. on \_\_\_\_\_, if indicated herein. Complete the following only when this endorsement is not prepared with the policy or is to be effective on a date other than the Inception Date of the policy.

Accepted by: \_\_\_\_\_  
On behalf of the entity named in ITEM 1 of the Declarations.

\_\_\_\_\_  
Authorized Company Representative

## Rate Information

Rate data does NOT apply to filing.



## Supporting Document Schedules

<b>Satisfied -Name:</b>	Uniform Transmittal Document- Property & Casualty	<b>Review Status:</b> Approved	08-06-2007
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**Comments:**

**Attachments:**

2007 PC NAIC Transmittal (generic) (2).pdf  
2007 NAIC Form List.pdf

<b>Satisfied -Name:</b>	Cover Letter	<b>Review Status:</b> Approved	08-06-2007
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**Comments:**

**Attachment:**

AR Travelers Filing Letters 4.pdf

**Property & Casualty Transmittal Document**

<b>1. Reserved for Insurance Dept. Use Only</b>	<b>2. Insurance Department Use only</b>	
	a. Date the filing is received:	
	b. Analyst:	
	c. Disposition:	
	d. Date of disposition of the filing:	
	e. Effective date of filing:	
	New Business	
	Renewal Business	
	f. State Filing #:	
	g. SERFF Filing #:	
h. Subject Codes		

<b>3. Group Name</b>	<b>Group NAIC #</b>
Travelers	3548

4. Company Name(s)	Domicile	NAIC #	FEIN #	State #
Travelers Casualty and Surety Company of America	CT	31194	06-0907370	

<b>5. Company Tracking Number</b>	<b>2007-06-0080</b>
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**Contact Info of Filer(s) or Corporate Officer(s)** [include toll-free number]

6. Name and address	Title	Telephone #s	FAX #	e-mail
Michelle Smith Cotto	Regulatory Analyst	860-277-2345	860-235-4951	<a href="mailto:msmithco@travelers.com">msmithco@travelers.com</a>
One Tower Square, 2SHS Hartford, CT 06183				
7. Signature of authorized filer		<i>Michelle Smith Cotto</i>		
8. Please print name of authorized filer		Michelle Smith Cotto		

**Filing information** (see General Instructions for descriptions of these fields)

9. Type of Insurance (TOI)	23. Fidelity
10. Sub-Type of Insurance (Sub-TOI)	Fidelity
11. State Specific Product code(s) (if applicable)[See State Specific Requirements]	N/A
12. Company Program Title (Marketing title)	ERISA
13. Filing Type	<input type="checkbox"/> Rate/Loss Cost <input type="checkbox"/> Rules <input type="checkbox"/> Rates/Rules <input checked="" type="checkbox"/> Forms <input type="checkbox"/> Combination Rates/Rules/Forms <input type="checkbox"/> Withdrawal <input type="checkbox"/> Other (give description)
14. Effective Date(s) Requested	New: 8/30/07                      Renewal: 8/30/07
15. Reference Filing?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
16. Reference Organization (if applicable)	N/A
17. Reference Organization # & Title	N/A
18. Company's Date of Filing	

**19. Status of filing in domicile**☐ Not Filed ☒ Pending ☐ Authorized ☐ Disapproved**Property & Casualty Transmittal Document—****20. This filing transmittal is part of Company Tracking #** 2007-06-0080**21. Filing Description** [This area can be used in lieu of a cover letter or filing memorandum and is free-form text]**Our Company Filing Number:** 2007-06-0080

Form Filing

Fidelity

**TRAVELERS CASUALTY AND SURETY COMPANY OF AMERICA** 3548-31194

This is an independent filing on behalf of Travelers Casualty and Surety Company of America.

In compliance with the insurance laws and regulations of your state, and the Employee Retirement Income Security Act of 1974 (ERISA) and the Pension Protection Act of 2006 (PPA '06) our company submits one (1) general use endorsement. The purpose of the filing is to conform to the new ERISA bonding requirements that require a \$1,000,000 limit for Insured Plans that hold employer securities. The requirements go into effect January 1, 2008.

This filing consists of the following endorsement:

**F-3679 (10/07)**, for use with the ERISA Compliance Bond product (F-3600).**22. Filing Fees** (Filer must provide check # and fee amount if applicable)  
[If a state requires you to show how you calculated your filing fees, place that calculation below]**Check #:****Amount:**

**Refer to each state's checklist for additional state specific requirements or instructions on calculating fees.**

**\*\*\*Refer to the each state's checklist for additional state specific requirements (i.e. # of additional copies required, other state specific forms, etc.)**

**FORM FILING SCHEDULE**

(This form must be provided ONLY when making a filing that includes forms)  
 (Do not refer to the body of the filing for the forms listing, unless allowed by state.)

<b>1.</b>	<b>This filing transmittal is part of Company Tracking #</b>		<b>2007-06-0080</b>		
<b>2.</b>	<b>This filing corresponds to rate/rule filing number</b> (Company tracking number of rate/rule filing, if applicable)		<b>N/A</b>		
<b>3.</b>	<b>Form Name /Description/Synopsis</b>	<b>Form # Include edition date</b>	<b>Replacement or Withdrawn?</b>	<b>If replacement, give form # it replaces</b>	<b>Previous state filing number, if required by state</b>
01	ERISA Required Bond Limit (For use with ERISA Compliance Bond F-3600 Ed. 8-00)	F-3679 (10/07)	<input checked="" type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
02			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
03			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
04			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
05			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
06			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
07			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
08			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
09			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
10			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		



One Tower Sq. 2SHS  
Hartford, CT 06183

Michelle Smith Cotto  
Travelers Bond and Financial  
Products  
Phone: (860) 277-2345  
FAX: (866) 235-4951  
Email: msmithco@travelers.com

July 31, 2007

Honorable Mike Pickens  
Commissioner of Insurance  
Arkansas Insurance Dept  
1200 West Third Street  
Little Rock, AR 72201-1904

**Our Company Filing Number: 2007-06-0080**  
**Form Filing**  
**Fidelity**

**TRAVELERS CASUALTY AND SURETY COMPANY OF AMERICA 3548-31194**

This is an independent filing on behalf of Travelers Casualty and Surety Company of America.

In compliance with the insurance laws and regulations of your state, and the Employee Retirement Income Security Act of 1974 (ERISA) and the Pension Protection Act of 2006 (PPA '06) our company submits one (1) general use endorsement. The purpose of the filing is to conform to the new ERISA bonding requirements that require a \$1,000,000 limit for Insured Plans that hold employer securities. The requirements go into effect January 1, 2008.

This filing consists of the following endorsement:

**F-3679 (10/07)** which is for use with the ERISA Compliance Bond product (F-3600).

We will use our previously filed and approved Commercial Crime filing which was approved by your department on August 15, 2000 under filing number 2000-3-MC-625.

**Enclosures and Implementation**

The following are enclosed to facilitate your review:

- Form listing and final prints of each form and;
- Any applicable state filing forms and fees.

We propose to implement this filing with respect to all new and renewal businesses effective on or after August 30, 2007 or any earlier date allowed by state law. Should you have any questions, please feel free to call me at (860) 277-2345.

Regards,

*Michelle Smith Cotto*